# INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) Application Number 09975590 Filing Date 2001-10-11 First Named Inventor Dean Bernard Jacobs Art Unit 2157 Examiner Name Ramy M Osman Attorney Docket Number BEAS-01077US2

				U.S.I	PATENTS	Remove
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	7100195		2006-08-29	Underwood	
	2	6832238		2004-12-14	Sharma et al.	
	3	6721777		2004-04-13	Sharma et al.	
	4	6212521		2001-04-03	Minami et al.	
	5	6779017		2004-08-17	Lamberton et al.	
	6	7171692		2007-01-30	DeMello et al.	
	7	4714996		1987-12-22	Gladney et al.	
If you wis	h to ac	dd additional U.S. Paten	t citatio	n information pl	ease click the Add button.	Add
U.S.PATENT APPLICATION PUBLICATIONS  Remove						

( Not for submission under 37 CFR 1.99)

Application Number		09975590
Filing Date		2001-10-11
First Named Inventor Dean		Bernard Jacobs
Art Unit		2157
Examiner Name Ramy		M Osman
Attorney Docket Number		BEAS-01077US2

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date		Name of Pate of cited Docu	entee or Applicant ment	Relev	s,Columns,Lines whe vant Passages or Rele es Appear	
	1	20020161839		2002-10-31		Colasurdo et a	l.			
	2	20020147961		2002-10	)-10	Charters et al.				
	3	20030236923		2003-12-25		Jeyaraman et a	al.			
	4	20030105837		2003-06	i-05	Kamen et al.				
If you wis	h to a	dd additional U.S. Publi	shed Ap	plication	citatio	n information p	lease click the Ado	d butto		
				FOREIG	SN PAT	ENT DOCUM	ENTS		Remove	
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>		Kind Code <sup>4</sup>	Publication Date	Name of Patente Applicant of cited Document		Pages,Columns,Line where Relevant Passages or Relevar Figures Appear	T5
	1									
If you wis	h to ac	ı dd additional Foreign Pa	atent Do	cument	citation	information pl	ease click the Add	buttor	Add	
	NON-PATENT LITERATURE DOCUMENTS Remove									
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.					T5			
	1	BEA SYSTEMS, INC., WebLogic Server 6.1, September 15, 2001, 26 pages.								

( Not for submission under 37 CFR 1.99)

Application Number		09975590
Filing Date		2001-10-11
First Named Inventor Dean		Bernard Jacobs
Art Unit		2157
Examiner Name Ramy		M Osman
Attorney Docket Number		BEAS-01077US2

2	VISV	/ESWARAN, "Dive Into Connection Pooling with J2EE", Sun MicroSystems Inc., October 2000, pp. 1-7.						
3		GTEARNS, "Using the J2EE Connector Architecture Common Client Interface", Sun MicroSystems Inc. , April 2001, op. 1-10.						
4	MAR	MARINESCU, "BEA Weblogic Server 6.1 has been released", TheServerSide.com, July 31, 2001, p. 1.						
5	RAN	IA, et al., "Java Junction", Intelligent Enterprise, 4/16/2001, pp. 1-9						
6	FLO	FLOWERS, "The J2EE Connector Architecture", Sys-Con Media, May 1, 2001, pp. 1-4.						
7		STANHOPE, "J2EE Connector Architecture Promises to Simplify Connection to Back-End Systems", Giga Information Group, November 16, 2000, pp. 1-4.						
8	8 SARATHY, et al., "Integrating Java Applications with the Enterprise", EAI Journal, May 2001, pp. 50-54.							
9	BEA SYSTEMS, INC., WebLogic Server 6.1, September 19, 2001, 36 pages.							
10	RODONI, "The J2EE Connector Architecture's Resources Adapter", Sun MicroSystems Inc., December 2001, pp. 1-12.							
If you wish to add additional non-patent literature document citation information please click the Add button Add								
EXAMINER SIGNATURE								
Examiner Sigr	Examiner Signature Date Considered							
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

( Not for submission under 37 CFR 1.99)

Application Number		09975590
Filing Date		2001-10-11
First Named Inventor Dean		Bernard Jacobs
Art Unit		2157
Examiner Name Ramy		M Osman
Attorney Docket Numb	er	BEAS-01077US2

<sup>&</sup>lt;sup>1</sup> See Kind Codes of USPTO Patent Documents at <u>www.USPTO.GOV</u> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

( Not for submission under 37 CFR 1.99)

Application Number		09975590
Filing Date		2001-10-11
First Named Inventor Dean		Bernard Jacobs
Art Unit		2157
Examiner Name Ramy		M Osman
Attorney Docket Numb	er	BEAS-01077US2

Plea	ase see 37 CFR 1	.97 and 1.98 to make the appropriate select	ion(s):				
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).						
OR	1						
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).						
	See attached ce	rtification statement.					
	Fee set forth in 3	37 CFR 1.17 (p) has been submitted herewit	h.				
X	None						
SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.							
Sigr	Signature /Joseph P. O'Malley/		Date (YYYY-MM-DD)	2007-07-19			
Nan	ne/Print	Joseph P. O'Malley	Registration Number	36226			
pub	lic which is to file	rmation is required by 37 CFR 1.97 and 1.98 (and by the USPTO to process) an applications estimated to take 1 hour to complete, including	on. Confidentiality is gover	rned by 35 U.S.C. 122 and 37 CFR			

application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria**,

**CERTIFICATION STATEMENT** 

VA 22313-1450.

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.